

12/21/01

12-28-01

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 068635.0108

First Inventor BASHEN, et al.

Title METHOD, APPARATUS AND SYSTEM FOR PROCESSING  
COMPLIANCE ACTIONS OVER A WIDE AREA NETWORK

Express Mail Label No. EL477698638US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing) ✓
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 155]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 23]
5. Oath or Declaration [Total Pages 178]
- a. ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- b. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: 2 CHECKS FOR FEES

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_

Prior application information:

Examiner: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label 023640 (Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

Name	RONALD L. CHICHESTER				
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Name (Print/Type)	RONALD L. CHICHESTER	Registration No. (Attorney/Agent)	36,765
Signature	<i>Ronald L. Chichester</i>	Date	12/21/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 958.00; 40.00)

## Complete if Known

Application Number	UNASSIGNED
Filing Date	DECEMBER 21, 2001
First Named Inventor	BASHEN, et al.
Examiner Name	UNASSIGNED
Group Art Unit	UNASSIGNED
Attorney Docket No.	068635.0108

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 02-0383
- Deposit Account Name: BAKER BOTTS L.L.P. (023640)
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

1. BASIC FILING FEE		Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355			Utility filing fee	370.00
106	320	206	160			Design filing fee	
107	490	207	245			Plant filing fee	
108	710	208	355			Reissue filing fee	
114	150	214	75			Provisional filing fee	
SUBTOTAL (1)							(\$ 370.00)

2. EXTRA CLAIM FEES		Extra Claims		Fee from below		Fee Paid
Total Claims	Independent Claims	Fee	Fee	Fee	Fee	
75	5	-20** = 55	9.00	495.00		
		-3** = 2	42.00	84.00		
Multiple Dependent						

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 579.00)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

3. ADDITIONAL FEES		Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65			Surcharge - late filing fee or oath	
127	50	227	25			Surcharge - late provisional filing fee or cover sheet	
139	130	139	130			Non-English specification	
147	2,520	147	2,520			For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*			Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*			Requesting publication of SIR after Examiner action	
115	110	215	55			Extension for reply within first month	
116	390	216	195			Extension for reply within second month	
117	890	217	445			Extension for reply within third month	
118	1,390	218	695			Extension for reply within fourth month	
128	1,890	228	945			Extension for reply within fifth month	
119	310	219	155			Notice of Appeal	
120	310	220	155			Filing a brief in support of an appeal	
121	270	221	135			Request for oral hearing	
138	1,510	138	1,510			Petition to institute a public use proceeding	
140	110	240	55			Petition to revive - unavoidable	
141	1,240	241	620			Petition to revive - unintentional	
142	1,240	242	620			Utility issue fee (or reissue)	
143	440	243	220			Design issue fee	
144	600	244	300			Plant issue fee	
122	130	122	130			Petitions to the Commissioner	
123	50	123	50			Processing fee under 37 CFR 1.17(q)	
126	180	126	180			Submission of Information Disclosure Stmt	
581	40	581	40			Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355			Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355			For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355			Request for Continued Examination (RCE)	
169	900	169	900			Request for expedited examination of a design application	
Other fee (specify)							
SUBTOTAL (3)							(\$ 40.00)

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type) RONALD L. CHICHESTER

Signature *Ronald L. Chichester*

Registration No. (Attorney/Agent) 36,765

## Complete (if applicable)

Telephone 713.229.1341

Date 12/21/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**CERTIFICATE OF MAILING via EXPRESS MAIL**  
**37 C.F.R. § 1.10**

PURSUANT TO 37 C.F.R. § 1.10, I HEREBY CERTIFY THAT I HAVE A REASONABLE BASIS FOR BELIEF THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS EXPRESS MAIL POST OFFICE TO ADDRESSEE, ON THE DATE BELOW, IN AN ENVELOPE ADDRESSED TO:

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BOX PATENT APPLICATION  
WASHINGTON, D.C. 20231.

  
RONALD L. CHICHESTER (REG. NO. 36,765)

**DECEMBER 21, 2001**

**DATE**

**EL477698638US**

**EXPRESS MAIL LABEL**

APPLICATION NUMBER: *UNASSIGNED*  
FILING DATE: DECEMBER 21, 2001  
FIRST NAMED INVENTOR: BASHEN, ET AL.  
GROUP ART UNIT: *UNASSIGNED*  
EXAMINER: *UNASSIGNED*  
TITLE: "METHOD, APPARATUS AND SYSTEM FOR PROCESSING COMPLIANCE  
ACTIONS OVER A WIDE AREA NETWORK"  
ATTORNEY DOCKET NUMBER: 068635.0108

**INCLUDED IN THIS MAILING FOR THE ABOVE-REFERENCED PATENT APPLICATION ARE:**

1. UTILITY PATENT APPLICATION TRANSMITTAL (PTO/SB/05);
2. FEE TRANSMITTAL FORM, WITH DUPLICATE COPY FOR FEE PROCESSING (PTO/SB/17);
3. CHECK #763653 IN THE AMOUNT OF \$958.00 FOR FILING FEE AND ADDITIONAL CLAIMS;
4. PATENT APPLICATION SPECIFICATION (155 PAGES);
5. TWENTY-THREE (23) SHEETS OF FORMAL DRAWINGS OF FIGURES 1-18;
6. NON-PUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i) (PTO/SB/35);
7. EXECUTED DECLARATION;
8. EXECUTED ASSIGNMENT;
9. ASSIGNMENT RECORDATION COVER SHEET, WITH DUPLICATE COPY FOR FEE PROCESSING;
10. CHECK #763655 IN THE AMOUNT OF \$40.00 FOR ASSIGNMENT RECORDATION FEE;
11. EXECUTED POWER OF ATTORNEY;
12. RETURN POSTCARD TO ACKNOWLEDGE RECEIPT OF ABOVE ITEMS.

**ATTORNEY CONTACT INFORMATION:**

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**NONPUBLICATION REQUEST  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	BASHEN, ET AL.	
Title	METHOD, APPARATUS AND SYSTEM FOR PROCESSING COMPLIANCE ACTIONS OVER A WIDE AREA NETWORK	
Atty Docket Number	068635.0108	

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

DECEMBER 21, 2001

Date



Signature

RONALD L. CHICHESTER

Typed or printed name

REG. NO. 36,765

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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